

# **Grants for Coalitions to Prevent and Reduce Alcohol Abuse at Institutions of Higher Education**

**CFDA #84.184Z**

**Information and Application Procedures for Fiscal Year 2009**

**Application Deadline: July 6, 2009**

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*Frequently Asked Questions*  
*Pages 23-30*

**Office of Safe and Drug-Free Schools**  
<http://www.ed.gov/osdfs>

OMB No. 1894-0006 Expiration Date: September 30, 2011



**UNITED STATES DEPARTMENT OF EDUCATION**

Office of Safe and Drug-Free Schools

June 2009

Dear Colleague:

Thank you for your interest in applying for funding under the Grants for Coalitions to Prevent and Reduce Alcohol Abuse at Institutions of Higher Education (IHEs).

We know that high-risk drinking contributes to a number of academic, social, and health-related problems for our nation's college students. According to several studies, approximately 40 percent of college students engage in heavy drinking and nearly 68 percent of underage students illegally use alcohol.

Across America, over 5,000 community anti-drug coalitions of America are working to create and maintain safe, healthy and drug-free communities, as well as address alcohol abuse. IHEs are often an important member of these local coalitions, and indeed find they cannot effectively address alcohol abuse issues on their campuses without changes in the broader community in which students live.

Under this new program, we will be providing Federal financial assistance to eligible applicants to develop, expand, or enhance a statewide coalition to prevent and reduce alcohol abuse by targeting under-age students at IHEs throughout the State, both on campuses and in surrounding communities. Statewide coalitions can take the successes of individual campuses and communities in effectively addressing alcohol abuse and underage drinking to scale, by expanding these successes to a wider array of IHEs within a state.

We look forward to receiving your application under this grant competition.

Sincerely,

/s/

William Modzeleski  
Acting Assistant Deputy Secretary

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## I. APPLICATION SUBMISSION PROCEDURES

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### Application Transmittal Instructions

#### **Electronic Submission is Required**

As outlined in the *Federal Register* notice for this grant competition, applications must be submitted electronically. You must submit your application using the electronic application system designated in the *Federal Register* notice. For this grant competition, applications must be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants Web site at: <http://e-grants.ed.gov>. You may not e-mail an electronic copy to us. We will reject your application if you submit it in paper format unless you qualify for one of the exceptions to the electronic submission requirement described below and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions.

Under mandatory submission, electronic applications must be received by 4:30:00 pm Washington, DC time on the application deadline date. Under this new policy, the U.S. Department of Education (ED) does not allow for any last minute waiver requests from applicants, which is a change from the previous policy for mandatory electronic submission. Consequently, we strongly encourage you to review the registration and submission procedures for the designated electronic application system right away. In addition, we strongly suggest that you do not wait until the deadline date to submit your application.

#### **Exception to Electronic Submission Requirement**

You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, by mail or hand delivery, if you are unable to submit an application through the electronic application system designated in the Federal Register notice because—

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the system;  
and
- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date. (Please follow the fax instructions found in the Federal Register notice for this competition. Also, your paper application must be submitted in accordance with the mail or hand delivery instructions also described in the *Federal Register* notice for this grant competition.)

For detailed information on the electronic submission requirement for this competition, please refer to the *Federal Register* notice.

**Applications Sent by U.S. Postal Service or Commercial Carrier**

If you qualify for an exception to the electronic submission requirement, you may mail through the U.S. Postal Service or deliver by commercial carrier your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address: U.S. Department of Education, Application Control Center, Attention: CFDA Number 84.184Z, LBJ Basement Level 1, 400 Maryland Avenue, SW., Washington, DC 20202-4260.

You must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

**Note:** The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

**Applications Delivered by Hand**

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may hand deliver your paper application to the Department. You must deliver the original and two copies of your application, by hand, on or before the application deadline date, to the Department at the following address: U.S. Department of Education, Application Control Center, Attention: CFDA Number 84.184Z, 550 12th Street, SW, Room 7041, Potomac Center Plaza, Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

**Note for Mail or Hand Delivery of Paper Applications:** If you mail or hand deliver your application to the Department—

- (1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and
- (2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this grant notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

**IMPORTANT – PLEASE READ FIRST**  
**U.S. Department of Education**  
**E-Application Submission Procedures and Tips for**  
**Applicants**  
**<http://e-grants.ed.gov>**

**To facilitate your use of e-Application, this document includes important application preparation and submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education. Please read and follow these step-by-step directions to create and submit your application.**

**ATTENTION**

Applicants using the Department of Education's e-Application system will need to register first to access an application package. Forms in an application package are completed on-line and narratives are uploaded while logged into the system. Therefore, allow sufficient time to complete your application before the closing date. If you have not used e-Application in the past, you may want to walk through the Demo available on the e-Application homepage. If you encounter difficulties, you may also contact the e-Grants help desk on 1-888-336-8930. The following are steps you should follow to successfully complete an application with e-Application.

**Step 1 – Determine if your program is accepting electronic applications.** The *Federal Register* Notice of each program will indicate whether the program is accepting e-Applications as part of the Department's e-Application program. Here is a link to the Department's *Federal Register* notices:  
<http://www.ed.gov/news/fedregister/announce/index.html>. Additional information on the Department of Education's grant programs can be found at  
<http://www.ed.gov/about/offices/list/ocfo/grants/grants.html>.

**Step 2 – Register in e-Application to access the application package.** If you are a new user, you will need to register to use e-Application. From the e-Grants Portal Page <http://e-grants.ed.gov/>, click on the continue button and click the register button on the right side of the next page. Select the e-Application module and click the next button. Please provide the requested information. Your e-Grants password will be sent to the e-mail address you provide. Once you receive the e-mail, enter your username and password and click the login button.

If you already have a username and password for e-Grants, use them to login. If you have access to more than one e-Grants module, you will be directed to select which module you wish to enter. Keep in mind that this username and password will be used for all e-Grants modules. In order to update your registration for additional e-Grants modules, click the appropriate tab on the top of the screen and provide the requested information.

**Note the following browser compatibility problems.** The site is viewed best in Internet Explorer 5. We currently support IE 5, Netscape 6.2, Firefox 2.2 (along with later versions of IE, Netscape and Firefox). Please make sure that you have **Cookies** and **JavaScript** enabled in your browser.

**Step 3 - Add Application Package to your Start Page.** From your Start Page, click on the "Add" button to see the list of application packages. Click on a specific package link on the List of Application Packages to apply. The package will now appear on your Start Page. From this point forward, you will access your unique application from your Start Page (not the Packages Page).

**Step 4 - Begin the Application.** Click on the underlined Application Package Title on your Start Page. This brings you to a page where you will see all of the application's forms and narratives listed as underlined links.

**Step 5 - Fill out Forms.** Enter a form by clicking on the underlined form title in order to enter data. Remember to click the "Save" button at the bottom of the form and check the "Form Completed" box for each form as you complete it.

**Step 6 - Upload File(s) for Narrative Responses.** Click on an underlined narrative form title for the e-Application. Enter the title of the document, and click on the "Browse" button to locate your file. Remember to click the "Save" button after you upload the document and check the "Form Completed" box when you finish uploading your file(s). Please note for file uploads, we accept .doc, .rtf, and .pdf files only. If you are using Word 2007, please save your document in a lower version of Word before uploading into e-Application.

**Step 7 - Verify Information/Print Application.** Verify your information is complete and correct on all required forms and narratives. You have the option to print each form at any time by clicking on the print/view icon next to the appropriate form. After submission of the forms and narratives, you have the option to print a complete e-Application package in PDF by clicking on the "Request Complete Package in PDF" on the e-Application PR/Award page. A second window will open informing you that your request has been received and that you will be notified via e-mail once it is available. This process can take anywhere from a few minutes to a few hours. Once you receive the e-mail, click on the link in the text of the message and enter your username and password in the new window. This will open the PDF file from which you can view/print the entire package. In addition, a blank complete package in PDF will be accessible from the package page in e-Application.

**Step 8 - Submit your Application.** Only authorized individuals for your organization can submit an application. Please check with your Authorizing Representative or sponsored research office before submission. Click on the "Ready to submit" button at the bottom of your application. Enter and verify the Authorizing Representative information. Click the "Submit" button. You will receive an e-mail to confirm that your application was received, and it will include a unique application number. Please print



and keep this e-mail for your records. [Reminder: applications must be submitted before 4:30:00 p.m., Washington, DC time, on the deadline date for applications. e-Application will not accept your application if you try to submit it after 4:30:00 on the deadline date.]

**Step 9 - Fax the signed SF 424 Cover Page (or Program Specific Cover Page).** Write your unique application number (received in step 8) on the upper right corner of your printed SF 424 Cover Page (or Program Specific Cover Page), sign and fax it within 3 business days of submitting your e-Application to (202) 485-0041 or (202) 245-7166.

**NOTE:** For more detailed information on submitting an e-Application, please see the User Guide. In addition, please try practicing with our e-Application Demo site by clicking on the Demo button found on the upper left corner of the e-Application Home Page. Both the User Guide and Demo can be found at <http://e-grants.ed.gov>.

## **Other Submission Tips**

- 1) **SUBMIT EARLY - We strongly recommend that you do not wait until the last day to submit your application.** The time it takes to upload the narratives for your application will vary depending on a number of factors including the size of the files and the speed of your Internet connection. If you try to submit your application after 4:30:00 p.m., Washington, DC time on the deadline date, the e-Application system will not accept it.
- 2) **If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the *Federal Register* notice and get a hard copy application postmarked by midnight on the deadline date.**

**If electronic submission is required, you must submit an electronic application before 4:30:00 p.m., unless you follow the procedures in the *Federal Register* notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the *Federal Register* notice for detailed instructions.)**

- 3) **Dial-Up Internet Connections -** When using a dial-up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial-up connection. If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the *Federal Register* notice to obtain an exception to the electronic submission requirement no later than two weeks before the

application deadline date. (See the Federal Register notice for detailed instructions.)

## **Additional Tips – Attaching Files**

Please note the following tips related to attaching files to your application:

1. Ensure that you only attach the Education approved file types detailed in the *Federal Register* application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an earlier version of Word before uploading. Also, do not upload any password-protected files to your application.
2. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters. In addition, applicants should avoid including special characters in their file names (for example, %, \*, /, etc.) Both of these conditions (lengthy file names and/or special characters included in the file names) could result in difficulties opening and processing a submitted application.
3. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. Please note that each file attachment in e-Application has a file size limitation, which is anywhere from 2 to 8 MB, and the limitation will be indicated on the individual screen when you upload a file. For reference, however, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the size of your attachments before uploading them into e-Application.

## II. PROGRAM BACKGROUND INFORMATION

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### General Information

#### OVERVIEW

We will award grants under this competition to develop, expand, or enhance a statewide coalition to prevent and reduce alcohol abuse by targeting under-age students at IHEs throughout the State, both on campuses and in surrounding communities.

#### ELIGIBILITY

Eligible applicants under this program are institutions of higher education (IHEs), consortia thereof, State agencies, and non-profit entities.

#### AUTHORITY

This competition is authorized under Title IV, Part A, Subpart 2, Section 4121 of the Elementary and Secondary Education Act of 1965; 20 U.S.C. 7131.

#### APPLICABLE REGULATIONS

The Education Department General Administrative Regulations (EDGAR) in (a) 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, 99, and (b) 34 CFR 299 apply to this competition. The regulations in CFR Part 79 apply to all applicants except federally recognized Indian tribes. The regulations in 34 CFR Part 86 apply to IHEs only.

#### NOTE TO APPLICANTS

This is a complete application package for the Grants for Coalitions to Prevent and Reduce Alcohol Abuse at Institutions of Higher Education program. Together with the statute authorizing the program and the Education Department General Administrative Regulations (EDGAR) governing the program, this package contains all of the information, application forms, and instructions needed to apply for this grant.

The official document governing this competition is the Notice Inviting Applications published in the *Federal Register* [See Section III (Legal and Regulatory Documents) of this application package]. The notice is also available electronically at the following Web site: [www.ed.gov/legislation/FedRegister](http://www.ed.gov/legislation/FedRegister).

Applicants should clearly indicate in Block #11 of the Standard Form 424, the CFDA number and alpha suffix of this competition **84.184Z**.

#### PROJECT PERIOD

The project period for this grant is up to 24 months. Applicants must submit an ED Form 524 and a detailed budget narrative that covers the entire (up to 24 month) budget period. We intend the project and budget period for projects funded under this grant competition to begin October 1, 2009.

## **ESTIMATED RANGE OF AWARDS**

We estimate that we will make 9 awards under this program, ranging from \$150,000 to \$375,000, depending on the scope of work. These figures are only estimates and do not bind the Department of Education to a specific number of grants or amount of any grant. Contingent upon the availability of funds and the quality of applications, we may make additional awards in fiscal year 2009 and in FY 2010 from the list of unfunded applications from this competition.

## **APPLICATION DUE DATE**

As outlined in the *Federal Register* notice for this grant competition, applications must be submitted electronically using the Electronic Grant Application System (e-Application) available through the Department's e-Grants system. The e-Grants system is accessible through its portal page at: <http://e-grants.ed.gov>. You may not e-mail an electronic copy to us. We will reject your application if you submit it in paper format unless you qualify for one of the exceptions to the electronic submission requirement described in the *Federal Register* notice and submit, no later than two weeks before the **July 6, 2009** application deadline date, a written statement to the Department that you qualify for one of these exceptions.

Under mandatory submission, electronic applications must be received by 4:30:00 pm Washington, DC time on **July 6, 2009**. **Under this new policy, ED does not allow for any last minute waiver requests from applicants, which is a change from the previous policy for mandatory electronic submission.** Consequently, we strongly encourage you to review the registration and submission procedures for the designated electronic application system right away. In addition, we strongly suggest that you do not wait until the deadline date to submit your application.

## **E-MAIL ADDRESSES**

As part of our review of your application we may need to contact you with questions for clarification. Please be sure your application contains valid e-mail addresses for the project director and the authorized representative or another party designated to answer questions in the event the project director and the authorized representative are unavailable.

## **PROJECT DIRECTOR'S TIME COMMITMENT**

Applicants are requested to provide the percent of the Project Director's time that will be dedicated to the grant project, if funded. For example, if the Project Director works 40 hours per week and spends 20 hours per week on grant activities related to this program, then the time commitment for the Project Director would be 50%. We suggest that applicants include this information in the budget narrative or that they add this information to the Project Director line on the Department of Education Supplement to the SF 424.

## **TRAVEL BUDGET**

All applicants must budget for the project director and at least one additional staff member to attend ED's annual National Meeting on Alcohol and Other Drug Abuse and Violence Prevention in Higher Education during the project period. There are no

registration fees for these meetings. For planning purposes, applicants should include funds for transportation, lodging for four nights and four days, and per diem costs. Although a site for the 2009 site has not been selected, applicants should use a Washington, DC destination to estimate expenses.

In addition, applicants must also participate in an online Department of education grant administration course within 30 days of receipt of the grant award. There are no fees associated with this requirement.

### **TECHNICAL ASSISTANCE**

Grantees will receive technical assistance throughout the life of the grant. This assistance will take multiple forms from meetings and workshops to telephone consultation, printed materials and other forms of networking to share ideas and identify resources. The focus of this assistance will include start-up implementation support, including planning for and implementing selected innovative strategies and programs, establishing community coalitions, developing local support for the project, establishing measurable goals and objectives, planning and implementing a rigorous process and outcome.

The Office of Safe and Drug-Free Schools will offer a technical assistance call during which staff will take questions from prospective applicants on topics including eligibility requirements, application requirements, and the peer review process. Specific information on when this call will be held will be posted to our website at: [www.ed.gov/programs/stopact/index.html](http://www.ed.gov/programs/stopact/index.html).

### **REPORTS**

At the end of the project period, grantees must submit a final performance report, including financial information, as directed by the Secretary.

### **HUMAN SUBJECTS RESEARCH**

Please see Item 3 of the instructions for Supplemental Information for Standard Form 424 in Section IV of this application package. Projects funded under this grant program may be subject to protection of human subjects research requirements. Additional information on human subjects research is posted online at [www.ed.gov/policy/fund/reg/humansub/part97.html](http://www.ed.gov/policy/fund/reg/humansub/part97.html).

### **THE U.S. DEPARTMENT OF EDUCATION'S EXPECTATIONS**

By submitting an application for this program, applicants agree to fully cooperate with any evaluation efforts conducted by ED or its contractors. At a minimum, grantees are expected to maintain records on how their program is operating and the extent to which their program objectives are being met; include specific performance measures in their evaluation plan; and make ongoing project information, findings, and products available to ED.

### **CONTRACTING FOR SERVICES**

As a general matter, Sections 74.40 or 80.36 of EDGAR govern competition in procurement transactions by grantees in the Grants for Coalitions to Prevent and Reduce Alcohol Abuse at Institutions of Higher Education program. The requirements in Section

74.40 of EDGAR apply to IHEs and non-profit organizations, while those in Section 80.36 apply to State and local governments. Depending on your organization, applicants for grants under this program must follow the minimum requirements in 74.40 or 80.36. EDGAR is available on line and can be accessed at [www.ed.gov/policy/fund/reg/edgarReg/edgar.html](http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html).

## **DEFINITIONS**

For the purposes of this competition, the terms used in this application have the following definitions:

The term **institution of higher education** means an institution described in section 101(a) of the Higher Education Act of 1965, as amended, and includes an educational institution in any State that—

- (a) Admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate;
- (b) Is legally authorized within such State to provide a program of education beyond secondary education;
- (c) Provides an educational program for which the institution awards a bachelor's degree or provides not less than a 2-year program that is acceptable for full credit toward such a degree;
- (d) Is a public or other nonprofit institution; and
- (e) Is accredited by a nationally recognized accrediting agency or association or, if not so accredited, is an institution that has been granted pre-accreditation status by such an agency or association that has been recognized by the Secretary for the granting of pre-accreditation status, and as to which the Secretary has determined that there is satisfactory assurance that the institution will meet the accreditation standards of such an agency or association within a reasonable time.

The term **non-profit**, as applied to a school, agency, organization, or institution, means a school, agency, organization, or institution owned and operated by one or more non-profit corporations or associations, no part of the net earnings of which inures, or may lawfully inure, to the benefit of any private shareholder or individual.

The term **State** means each of the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, and each of the outlying areas.

The term **State agency** means an agency within a State government that performs a function related to the reduction and prevention of under-age alcohol consumption.

The term **statewide coalition** refers to two or more IHEs within a State working towards lowering the alcohol abuse rate by targeting under-age students at IHEs throughout the State in collaboration and partnership with, but not limited to, one or more of the following: a nonprofit group, a community under-age drinking prevention coalition, or another substance abuse prevention group within a State.

## **PROGRAM CONTACT**

Earl Myers, Office of Safe and Drug-Free Schools; (Phone) 202-245-7879, (Email) [Earl.Myers@ed.gov](mailto:Earl.Myers@ed.gov), 550 12<sup>th</sup> Street, SW, Room 10119, Washington, DC 20202-6450.

## **PAPERWORK BURDEN STATEMENT**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for the information collection is OMB No. 1894-0006. The time required to complete the information collection is estimated to average 25 hours per response, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Office of Safe and Drug-Free Schools, U.S. Department of Education, 550 12<sup>th</sup> St., SW Room 10119, Washington, DC 20202-6450.

## **The Government Performance and Result Act (GPRA)**

The Government Performance and Results Act of 1993 (GPRA) is designed to address problems identified by Congress more than a decade ago, including lack of performance data that can be used by federal program managers to improve program efficiency and effectiveness and by Congress to ensure spending decisions and oversight are informed by data about program performance. GPRA seeks to improve public confidence in the capability of federal government by systematically holding federal agencies accountable for achieving results, promoting an increased focus on results and service quality, and helping federal managers improve program quality.

As required by GPRA, ED has developed a strategic plan that reflects organizational priorities and integrates those with our mission and program authorities. We also have developed GPRA measures for the individual programs we administer, including the Grants for Coalitions to Prevent and Reduce Alcohol Abuse at Institutions of Higher Education program. We have identified the following GPRA measures for assessing the effectiveness of this program at the end of these grants:

- (1) The percentage of grantees that demonstrate a reduction in 30-day alcohol use among under-age students at participating IHEs.;
- (2) The percentage of grantees that demonstrate a reduction in 30-day binge drinking among under-age students at participating IHEs.

These two measures constitute the Department's indicators of success for this program. Consequently, applicants for a grant under this program are advised to give careful

consideration to these two outcomes in conceptualizing the design, implementation, and evaluation of their proposed project. If funded, applicants will be asked to collect and report data in their annual performance reports about progress toward these goals. Grantees will be required to collect and report on these performance measures to ED. ED will aggregate data provided for these measures and use that data to report on program outcomes. ED will also share this performance data with Congress and may also publish results from individual grants to illustrate how grant sites are making progress toward program objectives.

## **Tips for Preparing and Submitting an Application**

### **A. Before you Begin**

- Read this application package in its entirety and make sure you follow all of the instructions.
- Use the tools we have provided to help you including:
  - Frequently Asked Questions in this application package
  - How to apply for a grant on our web site at:  
[www.ed.gov/admins/grants/apply/techassist/index.html](http://www.ed.gov/admins/grants/apply/techassist/index.html)
- If you do not understand information in this application or if you have questions about how to proceed, contact Earl Myers ([Earl.Myers@ed.gov](mailto:Earl.Myers@ed.gov)) in ED's Office of Safe and Drug-Free Schools.

### **B. Preparing your Application**

- Be thorough in your program description. Write so that someone who knows nothing about your organization or your project can understand what you are proposing.
- Organize your application according to the selection criteria and respond comprehensively.
- Make sure your budget narrative provides enough detailed descriptions about your proposed expenditures so staff can easily determine how the funds will be spent.
- Link your proposed expenditures to the goals and objectives of your program. Do not request funds for miscellaneous purposes and make sure you demonstrate that your proposed expenditures are necessary to carry out your program.

### **C. Submitting your Application**

- Use the checklist provided in this application package to make sure your application is complete and all required forms are included before submitting it.
- Transmit your application by the deadline date.

### **D. What Happens Next?**

- If you submit your application electronically, the PR/Award number will be generated automatically when you submit your application. In approximately two weeks, if you submitted an exception to the electronic submission requirement and submitted your application in paper format, you should receive a postcard from the Department of Education's Application Control Center acknowledging receipt of your application and giving you its assigned PR/Award number. Please



refer to this PR/Award number if you need to contact the Department about your application. If you have any questions about your postcard, please contact the ACC via e-mail ([application.center@ed.gov](mailto:application.center@ed.gov)) or telephone (202/245-6288).

- Applications will be screened by the Office of Safe and Drug-Free Schools (OSDFS) staff to ensure that all program eligibility requirements are met and all forms are included and signed by the Authorized Representative.
- Your application will be assigned to a three-person panel of expert reviewers who will evaluate and score your proposal according to the selection criteria in this package. Your application will receive a score from 0 to 100 depending upon how well you respond to the requirements of the selection criteria.
- A grant award document will be sent to applicants whose proposals score within the funding range. Unsuccessful applicants will receive a notification letter. Both successful and unsuccessful applicants will receive their reviewer comments in the mail. Please be sure your application contains valid email and mailing addresses for both the Project Director and Authorized Representative.
- If you submit your application electronically, you must use the e-Application Web site. Because unanticipated problems can occur, we encourage you not to wait until the last minute to submit your application. If you try to submit your application after 4:30:00 p.m., Washington, DC time on the deadline date, the e-Application system will not accept it. If you qualify for an exception to the electronic submission requirement, you may mail through the U.S. Postal Service or deliver by commercial carrier your application to the Department on or before the application deadline date. You must, however, provide a legibly dated U.S. Postal Service postmark. If using an overnight carrier, get a receipt.

## Program Information and Requirements

### **Background**

### **Preventing Alcohol Abuse and Underage Drinking Among College Students**

In response to alcohol and other drug abuse on college campuses and their surrounding communities, the U.S. Department of Education has supported campus and community-based prevention programs for two decades. Through discretionary grants and dissemination of information on effective strategies via its Higher Education Center for Alcohol and Other Drug Abuse and Violence Prevention (Higher Education Center), ED supports efforts to address these complex issues facing our nation's institutions of higher education.

Data from the Monitoring the Future study shows that approximately 40 percent of the nation's college students engaged in binge drinking (defined as five or more drinks in a row) at least once in the two weeks prior to responding to the survey.<sup>1</sup> The Core Institute reports that nearly 68 percent of under-age students used alcohol within the 30 days prior to taking the survey.<sup>2</sup>

Excessive drinking on college campuses often leads to serious adverse effects and violence. The Core Institute reports that alcohol and other drugs contributed to students getting into an argument or fight (32 percent of students), doing something they later regretted (38 percent of students), driving a car while under the influence (27 percent of students), or missing a class (31 percent of students).<sup>3</sup>

The purpose of this program is to provide funds to prevent and reduce the rate of underage alcohol consumption, including binge drinking, among students at institutions of higher education (IHEs), on campuses and in surrounding communities.

Under the absolute priority established for this competition we will provide Federal financial assistance to eligible applicants to develop, expand, or enhance a statewide coalition to prevent and reduce alcohol abuse by targeting under-age students at IHEs throughout the State, both on campuses and in surrounding communities.

**Note: Grantees funded under the Absolute Priority for this grant competition will be expected to promote a no use message to students under the minimum legal drinking age as part of their funded project.**

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<sup>1</sup> Johnston, L.D., O'Malley, P.M., Bachman, J.G., and Schulenberg, J.E. Monitoring the Future: National Survey Results on Drug Use, 1975-2005. Volume II: College Students and Adults Ages 19-45. National Institute on Drug Abuse, 2008, p.26.

<sup>2</sup> The Core Institute. 2005 Statistics on Alcohol and Other Drug Use on American Campuses. Southern Illinois University-Carbondale.

<sup>3</sup> The Core Institute. Available online at [www.siu.edu/~coreinst/results\\_consequences.htm](http://www.siu.edu/~coreinst/results_consequences.htm).

## LESSONS LEARNED

ED's two decades of experience in administering discretionary grant programs to prevent alcohol abuse has shown that successful projects adapt strategies that are based on sound prevention theory, research, or effective programs and practices. The implementation of a successful program relies on a strategic planning process, which will result in a well-designed needs assessment; the selection of policies and programs with evidence of effectiveness or a solid foundation in behavior change theory; specific goals and objectives; and the allocation of sufficient resources to ensure full implementation of the program.<sup>4</sup>

Prevention and early intervention initiatives should be designed to reduce both individual and environmental risk factors and enhance protective factors in specific populations and settings. Institutions of higher education have considerable experience in educational- and individual-prevention programs on campuses, and these strategies are necessary in order to provide a comprehensive array of prevention programming on campus. However, they are insufficient alone to create systemic, long-lasting change on college campuses and in the surrounding communities. Research strongly supports the use of comprehensive, integrated programs with multiple complementary components that target individuals, including at-risk or alcohol-dependent drinkers, the student population as a whole, and the college and the surrounding community as well.<sup>5</sup>

Statewide coalitions may include institutions of higher education, state government officials, and community organizations in a state focused on changing the aspects of the campus and community environment that contribute to the reduction of high-risk and under-age drinking. Numerous states across the country have expanded prevention of college alcohol and other drug problems that might have been effectively conducted on a select number of campuses into a regional or statewide effort.<sup>6</sup>

Each state approaches planning, implementing, or enhancing a statewide coalition differently. Some coalitions are initiated through the leadership of state officials, while others emerged through the efforts of college and university administrators or statewide college task forces working on alcohol and other drug issues. In many states community coalitions to reduce under-age drinking have taken the lead in pushing for statewide campus and community prevention initiatives.

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<sup>4</sup> DeJong, W. Experiences in Effective Prevention. The U.S. Department of Education's Alcohol and Other Drug Prevention Models on College Campuses Grants. The Higher Education Center for Alcohol and Other Drug Abuse and Violence Prevention, U.S. Department of Education, 2007.

<sup>5</sup> National Institute on Alcohol Abuse and Alcoholism. A Call to Action: Changing the Culture of Drinking at U.S. Colleges. U.S. Department of Health and Human Services, 2002.

<sup>6</sup> The following background information on statewide coalitions includes adapted excerpts of text from the ED, Higher Education Center resources on statewide initiatives found online at: [www.higheredcenter.org/prevention/coalitions/swi](http://www.higheredcenter.org/prevention/coalitions/swi) (last accessed May 15, 2009).

A useful resource for developing, implementing, or expanding the work of a statewide coalition are the resources on a special, state initiatives page of the ED Higher Education Center, and available online at: [www.higheredcenter.org/prevention/coalitions/swi](http://www.higheredcenter.org/prevention/coalitions/swi).

The “Stop Underage Drinking Portal of Federal Resources” also provides links to important information. It is online at: [www.stopalcoholabuse.gov](http://www.stopalcoholabuse.gov).

An additional resource containing lessons learned is the publication, “Experiences in Effective Prevention,” (2007), which highlights core elements of effective campus-based alcohol and other drug abuse prevention programs. This publication (available online at [www.higheredcenter.org/pubs/effective-prevention.pdf](http://www.higheredcenter.org/pubs/effective-prevention.pdf)) is based on the experiences of 22 grantee institutions recognized from 1999 to 2004 as having implemented model programs through the U.S. Department of Education’s Alcohol and Other Drug Prevention Models on College Campuses Grant Competition.

## **Priority and Application Requirements**

### **Absolute Priority**

For FY 2009 and any subsequent year in which we make awards on the basis of the list of unfunded applications from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority. This priority is: Statewide coalitions to prevent alcohol use by under-age students at institutions of higher education (IHEs).

Under this priority we provide Federal financial assistance to eligible applicants to develop, expand, or enhance a statewide coalition to prevent and reduce alcohol abuse by targeting under-age students at IHEs throughout the State, both on campuses and in surrounding communities.

At a minimum, statewide coalitions must include two or more IHEs in the State, and at least one of the following: a nonprofit group, a community under-age drinking prevention coalition, or another substance abuse prevention group within the State.

### **Application Requirements**

To be eligible for a grant under this competition, an applicant must include in its application--

- (1) A description of how it will work to enhance or expand an existing statewide coalition, or where no statewide coalition exists, to build one;
- (2) A description of how the applicant will carry out other activities consistent with the purpose of the program and with the objectives embodied in the GPRA performance measures identified on page 15 of this application;
- (3) A description of the applicant’s plan to recruit key stakeholders, and a list of the members of the statewide coalition or interested parties involved in the work of the coalition;
- (4) A description of how it intends to work collaboratively with State agencies, and other key stakeholders, on substance abuse prevention and education; and

- (5) A description of the anticipated impact of the activities carried out with funds provided under the grant in preventing and reducing the rates of under-age alcohol use among students at IHEs targeted by those activities.

## **Selection Criteria**

The following criteria will be used to evaluate applications submitted for funding under this competition. The maximum score for all of these criteria is 100 points. Note that some criteria have weighted subcriteria. Applicants should be sure to address each subcriterion.

### **1) Need for Project (20 points)**

In determining the need for the project, we consider the following:

- (a) The magnitude or severity of the problem to be addressed by the proposed project. (10 points)
- (b) The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses. (10 points)

**Note:** Under this criterion, the applicant should discuss the magnitude or severity of under-age alcohol consumption, including binge drinking, among college students on campuses and in surrounding communities targeted by the activities of the coalition and how it was determined, providing information on needs assessment data, instruments used, and instrument validity.

### **2) Significance (20 Points)**

In determining the significance of the proposed project, we consider the following:

- (a) The likelihood that the proposed project will result in system change or improvement; (15 points)
- (b) The extent to which the proposed project is likely to build local capacity to provide, improve, or expand services that address the needs of the target population. (5 points)

**Note:** The applicant should describe how the project activities will lead to system change or improvement at the state or local level in preventing and reducing the rates of under-age alcohol use among students at IHEs targeted by the coalition.

### **3) Quality of the Project Design (35 Points)**

In determining the quality of the design of the proposed project we consider the following:

- (a) The extent to which the goals, objectives, and outcomes to be achieved by the

proposed project are clearly specified and measurable. (10 points)

(b) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs. (10 points)

(c) The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance. (10 points)

(d) The extent to which the proposed project will establish linkages with other appropriate agencies and organizations providing services to the target population. (5 points)

**Note:** The applicant should describe the manner in which the proposed project will develop, expand, or enhance a statewide coalition to prevent and reduce alcohol abuse by targeting under-age students at IHEs throughout the State, both on campuses and in the surrounding communities. Applicants should describe how the proposed project will result in the establishment of linkages between appropriate agencies or organizations participating in the coalition and providing services to the target population of under-age students.

#### **4) Quality of the Management Plan (10 points)**

In determining the quality of the management plan, we consider the following:

(a) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (10 points)

**Note:** Applicants should discuss in detail their management plan to develop, expand, or enhance a statewide coalition, and provide a project implementation timeline, taking into consideration any additional time that may be needed for relevant procurement procedures.

#### **5) Quality of the Project Evaluation (15 points)**

In determining the quality of the evaluation, we consider the following:

(a) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project. (15 points)

**Note:** Applicants should discuss their plan to evaluate project activities consistent with the purpose of the program and with the objectives embodied in the performance measures on page 15.

## **FREQUENTLY ASKED QUESTIONS**

### **GENERAL QUESTIONS (Pages 25-27)**

- ☐ What steps can I take to maximize my chances of receiving a grant?
- ☐ Who is eligible to apply?
- ☐ What are the project and budget periods for these grants?
- ☐ How much money is available under this grant competition?
- ☐ How many new awards will be made?
- ☐ What is the average amount of each grant?
- ☐ For the GEPA 427 statement, is it adequate to state that the organization does not discriminate on the basis of race, religion, sex, etc.?
- ☐ Who do applicants contact for more information about this grant competition?
- ☐ What steps should the applicant's Authorized Representative take before signing a grant application?
- ☐ How much detail should be included in the budget narrative?
- ☐ What guidance is available for developing a budget narrative?
- ☐ Are there certain items that cannot be purchased with grant funds?
- ☐ What kinds of activities are likely to be "human subject research"?
- ☐ If "human subject research" activities are planned, what should the applicant do?

### **APPLICATION SUBMISSION QUESTIONS (Pages 27-28)**

- ☐ What is the deadline date for applications under this competition?
- ☐ May I get an extension of the due date?
- ☐ Do I have to submit my application electronically?
- ☐ Is this program covered by Executive Order 12372?
- ☐ By what date do applicants have to submit their application to their Single State Point of Contact, if participating?
- ☐ What are some reasons why an application may get rejected and not considered?
- ☐ When submitting the application electronically, how should applicants submit the required forms and signatures?

## **PROGRAM-SPECIFIC QUESTIONS (Pages 28-29)**

- ☐ What is the purpose of this grant competition?
- ☐ What entities must be included in a statewide coalition?
- ☐ Do all IHEs in a state need to participate in the statewide coalition?
- ☐ Can we implement a coalition that involves IHEs from another state?
- ☐ May IHEs that have a grant under another U.S. Department of Education program (such as the Grant Competition to Prevent High-Risk Drinking and Violent Behavior Among College Students and/or the Models of Exemplary, Effective, and Promising Alcohol or Other Drug Prevention Programs on College Campuses) participate in a Coalition grant project?
- ☐ Is there a matching requirement?
- ☐ What is the definition of “institution of higher education” in this grant competition?

## **INDIRECT COST RATE (Page 30)**

- ☐ What is an indirect cost rate?
- ☐ Is there a restricted indirect cost rate required for this program?
- ☐ How do applicants obtain a negotiated, unrestricted indirect cost rate?
- ☐ Who in an organization may be able to provide information about an applicant’s negotiated, unrestricted indirect cost rate?
- ☐ What do I do if my organization does not have a negotiated indirect cost rate?



## GENERAL QUESTIONS

### **What steps can I take to maximize my chances of receiving a grant?**

- Before preparing your application, read the application package in its entirety.
- Follow all of the instructions exactly.
- Respond to the scoring criteria, including weighted subcriteria, thoroughly and completely. Reviewers are not permitted to give you “the benefit of the doubt;” therefore, all relevant information must be in your application.
- Organize your program narrative according to the scoring criteria and do not put relevant information in the appendices.
- Be sure that your application includes a budget request (ED Form 524) and a complete narrative justification.
- Transmit your application on or before the deadline date of July 6, 2009.

### **Who is eligible to apply?**

Institutions of higher education (IHEs), consortia thereof, State agencies, and non-profit entities.

### **What are the project and budget periods for these grants?**

We intend the project and budget periods for projects funded under this grant competition to be October 1, 2009 – September 30, 2011 for those with a project period of 24 months.

### **How much money is available under this grant competition?**

Approximately \$2.5 million is expected to be available for these grants in FY 2009.

### **How many new awards will be made?**

We estimate that we will make 9 new awards in FY 2009.

### **What is the average amount of each grant?**

Projects will be funded for approximately \$150,000 to \$375,000, depending on the scope of the work. These figures are only estimates and do not bind the Department of Education to a specific number of grants or amount of any grant.

### **For the GEPA 427 statement, is it adequate to state that the organization does not discriminate on the basis of race, religion, sex, etc.?**

No. An organization’s non-discrimination statement is not sufficient to meet the GEPA requirements. A GEPA statement should outline an entity’s potential barriers and solutions to equal access, specific to the proposed project.

### **Who do applicants contact for more information about this grant competition?**

Any questions pertaining to this grant competition should be directed to Earl Myers, Education Program Specialist, U.S. Department of Education, 550 12<sup>th</sup> St., SW, Room 10119, Potomac Center Plaza (PCP), Washington, DC 20202-6450, Phone: 202-245-7879, Fax: 202-485-0041, Email: [Earl.Myers@ed.gov](mailto:Earl.Myers@ed.gov).

**What steps should the applicant's Authorized Representative take before signing a grant application?**

The standard form that serves as a cover sheet for grant applications includes a certification statement that accompanies the authorized representative's signature. That certification indicates that the authorized representative's signature means that the information provided in the grant application is true, complete, and to the best of the authorized representative's knowledge, and that any false, fictitious, or fraudulent statements or claims may subject the authorized representative to administrative, civil, or criminal penalties. As a result, an authorized representative should carefully review a grant application before signing in order to be sure that all of the information contained in the application package is correct. Additionally, an authorized representative should be sure that the application describes a project that has the organization's support and reflects an approach that the organization is committed to implementing.

**How much detail should be included in the budget narrative?**

Please provide as much detail as possible in the budget narrative. Please include a per unit cost breakdown for all costs listed, number of items to be purchased or activities (training, assessments, etc.) to be completed, and describe in the narrative how each cost links to the goals and objectives of the program. Budget narratives should be thorough enough to justify the budget amount being requested.

**What guidance is available for developing a budget narrative?**

For additional guidance on preparing a budget narrative, please see [http://www.ed.gov/admins/grants/apply/techassist/resource\\_pg8.html](http://www.ed.gov/admins/grants/apply/techassist/resource_pg8.html)

**Are there certain items that cannot be purchased with grant funds?**

Yes. Generally, grant funds cannot be used to purchase meals, incentives or prizes, or other items identified by the Office of Management and Budget's Cost Principles for State, Local, and Indian Tribal Governments available at <http://www.whitehouse.gov/omb/circulars/a087/a087-all.html> and for IHEs at [http://www.whitehouse.gov/omb/circulars/a021/a21\\_2004.html](http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html).

**What kinds of activities are likely to be "human subject research"?**

ED's regulations for the protection of human subjects, 34 CFR Part 97, defines research as a systematic investigation (including program evaluation) designed to develop or contribute to general knowledge. A "systematic" investigation typically uses scientific methods (such as adequate sample sizes, surveys, control groups, and/or randomization). Research becomes "human subjects" research when the researcher obtains data about an individual through an intervention or otherwise obtains identifiable private information about individuals for research purposes. For additional information on human subjects research go to: <http://www.ed.gov/about/offices/list/ocfo/humansub.html>.

**If "human subject research" activities are planned, what should the applicant do?**

Grants under this program that involve nonexempt human subjects research will need to obtain an institution-wide assurance to abide by the Department's regulations for the protection of human subjects in research and be reviewed by an Institutional Review

Board (IRB) before beginning nonexempt activities. An IRB is a special panel responsible for protecting the rights and welfare of human research subjects.

A registry of Institutional Review Boards is available online at the Department of Health and Human Services' Office for Human Research Protection website, <http://www.ed.gov/about/offices/list/ocfo/humansub.html>.

Information and resources on the protection of human subjects in research is also available online on the ED website, <http://www.ed.gov/about/offices/list/ocfo/humansub.html>.

If you have any questions about your responsibilities under these requirements, you may contact ED's Protection of Human Subject Coordinator at (202) 260-3353.

## **APPLICATION SUBMISSION QUESTIONS**

### **What is the deadline date for applications under this competition?**

July 6, 2009.

### **May I get an extension of the due date?**

No, waivers for individual applications failing to meet the deadline will not be granted. However, if you are prevented from electronically submitting your application on the application deadline date because e-Application is unavailable, we will grant you an extension of one business day to enable you to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if—

- (1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and
- (2) (a) E-Application is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or  
(b) E-Application is unavailable for any period of time between 3:30 p.m. and 4:30:00 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension.

### **Do I have to submit my application electronically?**

Yes. Applications for grants under this program must be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants site unless you qualify for an exception to this requirement in accordance with the instructions in this package.

**Is this program covered by Executive Order 12372?**

Yes. This means applicants must submit a copy of their application to their State Single Point of Contact for review and include a copy of the transmittal letter in the application. On the Application for Federal Assistance (Standard Form 424), you must check box (a) in item 19 and provide the date on which you made your application available for review. Note that ED is prohibited from making an award to an entity that has not provided an opportunity for its State to review the application. The only exceptions to this requirement are applicants from States that have chosen not to participate or have indicated they do not wish to review applications from this competition. In either of these cases, applicants should check box (b). Do not check box (c) since this grant program is covered by Executive Order 12372. For more information about this requirement, see the Intergovernmental Review of Federal Programs section in this application package.

**By what date do applicants have to submit their application to their State Single Point of Contact, if participating?**

Applicants must submit their application to the State Single Point of Contact by the July 6, 2009 deadline date. A copy of the applicant's letter to the State Single Point of Contact must be included with their application.

**What are some reasons why an application may be rejected and not considered?**

- The application was not submitted by the deadline date and time.
- A file type was uploaded that is not one of the Department of Education approved file types detailed in the Federal Register notice - .doc, .pdf or .rtf.
- A file type was uploaded using Word 2007 and not saved to an earlier version of Word before uploading.
- A file that was attached had a file name that exceeded 50 characters or contained a special character such as %, \*, /, etc.
- A file that was attached exceeded the file size limitation or contained graphics and/or scanned materials that greatly increased the size of the file.
- The applicant was not an eligible entity.
- The applicant did not address the absolute priority.

**When submitting the application electronically, how should applicants submit the required forms and signatures?**

Applicants may either upload signed versions of the forms, in a .pdf format or fax the signed forms within 3 days of submitting the application to ED at (202) 485-0041 or (202) 245-7166.

**PROGRAM-SPECIFIC QUESTIONS****What is the purpose of this grant competition?**

The purpose of the program is to provide funds to prevent and reduce the rate of under-age alcohol consumption, including binge drinking, among students at institutions of higher education (IHEs), on campuses and in surrounding communities.

**What entities must be included in a statewide coalition?**

At a minimum, statewide coalitions must include two or more IHEs in the State, and at least one of the following: a nonprofit group, a community under-age drinking prevention coalition, or another substance abuse prevention group within the State.

**Do all IHEs in a state need to participate in the statewide coalition?**

No. Some applicants may intend to target all IHEs within a state whereas others may intend to focus activities on a selected group of IHEs within the state.

**Can we implement a coalition that involves IHEs from another state?**

No. The focus of the statewide coalitions must be on IHEs and surrounding communities within an individual state. Regional coalitions, that cross state boundaries, are outside the scope of this program.

**May IHEs that have a grant under another U.S. Department of Education program (such as the Grant Competition to Prevent High-Risk Drinking and Violent Behavior Among College Students and/or the Models of Exemplary, Effective, and Promising Alcohol or Other Drug Prevention Programs on College Campuses) participate in a Coalition grant project?**

Yes.

**Is there a matching requirement?**

No.

**What is the definition of “institution of higher education” in this grant competition?**

The term institution of higher education means an institution described in section 101(a) of the Higher Education Act of 1965, as amended, and includes an educational institution in any State that--

- (a) Admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate;
- (b) Is legally authorized within such State to provide a program of education beyond secondary education;
- (c) Provides an educational program for which the institution awards a bachelor's degree or provides not less than a 2-year program that is acceptable for full credit toward such a degree;
- (d) Is a public or other nonprofit institution; and
- (e) Is accredited by a nationally recognized accrediting agency or association or, if not so accredited, is an institution that has been granted pre-accreditation status by such an agency or association that has been recognized by the Secretary for the granting of pre-accreditation status, and as to which the Secretary has determined that there is satisfactory assurance that the institution will meet the accreditation standards of such an agency or association within a reasonable time.

## **INDIRECT COST RATE**

### **What is an indirect cost rate?**

An indirect cost is an expense that projects incur that is necessary to implement the grant, but may be difficult to identify with the grant. For example, indirect costs may include money spent for heat, light, rent, telephone, security, accounting, and Internet use.

Grantees are not required to charge the grant for indirect costs. If grantees wish to charge indirect costs, they must use their negotiated indirect cost rate. Applicants must provide proof of the approved rate with the grant application. For more information, visit <http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>.

### **Is there a restricted indirect cost rate required for this program?**

No. For this grant competition, you may charge indirect costs using the rate negotiated with your cognizant federal agency (e.g., Department of Education, Department of Health and Human Services, Department of the Interior).

Applicants are encouraged to give priority to coalition activities by limiting the indirect costs charged to the project. You will not be penalized for failure to reduce indirect costs nor will you gain a competitive advantage if you do. IHEs who apply as the eligible entity should use an approved indirect cost rate such as “other sponsored activities” rather than the approved “research” rate.

### **How do applicants obtain a negotiated indirect cost rate?**

If your organization does not have a current, negotiated indirect cost rate, and you wish to recover indirect costs, you must apply for a negotiated indirect cost rate from your cognizant federal agency. For additional information, please contact Katrina McDonald with the Department of Education’s Indirect Cost Group at 202-377-3838 or [Katrina.Mcdonald@ed.gov](mailto:Katrina.Mcdonald@ed.gov).

### **Who in an organization may be able to provide information about an applicant’s negotiated indirect cost rate?**

If an applicant does not know its negotiated, indirect cost rate, please contact the business office. Please note, applicants will need to submit proof of this cost rate with the application, such as a signed letter or a page from a state Web site.

### **What do I do if my organization does not have a negotiated indirect cost rate?**

If you claim indirect costs in the budget for your proposed project and do not have a negotiated rate with the federal government, ED will establish a temporary indirect cost rate for your project (i.e., 10 percent of the direct salaries and wages included in the budget for the project). You will be allowed to draw at the temporary rate during the first 90 days after ED made the grant, as determined by the date of the Grant Award Notification. If you do not submit an indirect cost rate proposal to your cognizant agency within that first 90 days, you will not be allowed to draw any more funds for indirect costs until you obtain a federally recognized indirect cost rate from your cognizant agency.

### III. LEGAL AND REGULATORY DOCUMENTS

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#### Notice Inviting Applications

4000-01-U

Authority

DEPARTMENT OF EDUCATION

Office of Safe and Drug-Free Schools

Overview Information

Grants for Coalitions to Prevent and Reduce Alcohol Abuse  
at Institutions of Higher Education

Notice inviting applications for new awards for fiscal year  
(FY) 2009.

Catalog of Federal Domestic Assistance (CFDA) Number:  
84.184Z.

Dates:

Applications Available: June 5, 2009.

Deadline for Transmittal of Applications: July 6, 2009.

Deadline for Intergovernmental Review: August 4, 2009.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purpose of the program is to  
provide funds to prevent and reduce the rate of under-age  
alcohol consumption, including binge drinking, among

students at institutions of higher education (IHEs), on campuses and in surrounding communities.

Priority: We are establishing this priority for the FY 2009 grant competition and any subsequent year in which we make awards from the list of unfunded applicants from this competition, in accordance with section 437(d)(1) of the General Education Provisions Act (GEPA), 20 U.S.C. 1232(d)(1).

Absolute Priority: This priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority.

This priority is:

Statewide coalitions to prevent alcohol use by under-age students at IHEs.

Under this priority we provide Federal financial assistance to eligible applicants to develop, expand, or enhance a statewide coalition to prevent and reduce alcohol abuse by targeting under-age students at IHEs throughout the State, both on campuses and in surrounding communities.

At a minimum, statewide coalitions must include two or more IHEs in the State, and at least one of the following: a nonprofit group, a community under-age drinking prevention coalition, or another substance abuse prevention group within the State.



Application Requirements: To be eligible for a grant under this competition, an applicant must include in its application--

(1) A description of how it will work to enhance or expand an existing statewide coalition, or where no statewide coalition exists, to build one;

(2) A description of how the applicant will carry out other activities consistent with the purpose of the program and with the objectives embodied in the performance measures in VI. 4. Performance Measures section of this notice;

(3) A description of the applicant's plan to recruit key stakeholders, and a list of the members of the statewide coalition or interested parties involved in the work of the coalition;

(4) A description of how it intends to work collaboratively with State agencies, and other key stakeholders, on substance abuse prevention and education; and

(5) A description of the anticipated impact of the activities carried out with funds provided under the grant in preventing and reducing the rates of under-age alcohol use among students at IHEs targeted by those activities.

Definitions: For the purposes of this notice, the terms used have the following meaning:

The term institution of higher education means an institution described in section 101(a) of the Higher Education Act of 1965, as amended, and includes an educational institution in any State that--

(a) Admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate;

(b) Is legally authorized within such State to provide a program of education beyond secondary education;

(c) Provides an educational program for which the institution awards a bachelor's degree or provides not less than a 2-year program that is acceptable for full credit toward such a degree;

(d) Is a public or other nonprofit institution; and

(e) Is accredited by a nationally recognized accrediting agency or association or, if not so accredited, is an institution that has been granted pre-accreditation status by such an agency or association that has been recognized by the Secretary for the granting of pre-accreditation status, and as to which the Secretary has determined that there is satisfactory assurance that the

institution will meet the accreditation standards of such an agency or association within a reasonable time.

The term non-profit, as applied to a school, agency, organization, or institution means a school, agency, organization, or institution owned and operated by one or more non-profit corporations or associations, no part of the net earnings of which inures, or may lawfully inure, to the benefit of any private shareholder or individual.

The term State means each of the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, and each of the outlying areas.

The term State agency means an agency within a State government that performs a function related to the reduction and prevention of under-age alcohol consumption.

The term statewide coalition refers to two or more IHEs within a State working towards lowering the alcohol abuse rate by targeting under-age students at IHEs throughout the State in collaboration and partnership with, but not limited to, one or more of the following: a nonprofit group, a community under-age drinking prevention coalition, or another substance abuse prevention group within a State.

Waiver of Proposed Rulemaking: Under the Administrative Procedure Act (5 U.S.C. 553) the Department generally

offers interested parties the opportunity to comment on proposed priorities, application requirements, and definitions. Section 437(d)(1) of GEPA, however, allows the Secretary to exempt from rulemaking requirements, regulations governing the first grant competition under a new or substantially revised program authority. This is the first grant competition for this program under section 4121 of the Elementary and Secondary Education Act of 1965, as amended, and, therefore, it qualifies for this exemption. In order to ensure timely grant awards, the Secretary has decided to forgo public comment on the priority, application requirements, and definitions, under section 437(d)(1) of GEPA. This priority, and these application requirements, and definitions will apply to the FY 2009 grant competition and any subsequent year in which we make awards from the list of unfunded applicants from this competition.

Program Authority: 20 U.S.C. 7131.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99.

(b) The regulations in CFR part 299.

Note: The regulations in 34 CFR part 79 apply to all applicants except federally recognized Indian tribes.

Note: The regulations in 34 CFR part 86 apply to IHEs only.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$2,475,000.

Contingent upon the availability of funds and the quality of applications, we may make additional awards later in FY 2009 and in FY 2010 from the list of unfunded applicants from this competition.

Estimated Range of Awards: \$150,000 to \$375,000.

Estimated Average Size of Awards: \$275,000.

Estimated Number of Awards: 9.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 24 months.

## III. Eligibility Information

1. Eligible Applicants: IHEs, consortia thereof, State agencies, and non-profit entities.

2. Cost Sharing or Matching: This program does not require cost sharing or matching.

## IV. Application and Submission Information

1. Address to Request Application Package: You can obtain an application package via the Internet or from the Education Publications Center (ED Pubs). To obtain a copy

via the Internet, use the following address:  
[www.ed.gov/fund/grant/apply/grantapps/index.html](http://www.ed.gov/fund/grant/apply/grantapps/index.html). To  
obtain a copy from ED Pubs, write, fax, or call the  
following: Education Publications Center, P.O. Box 1398,  
Jessup, MD 20794-1398. Telephone, toll free: 1-877-433-  
7827. FAX: (301) 470-1244. If you use a  
telecommunications device for the deaf (TDD), call, toll  
free: 1-877-576-7734.

You can contact ED Pubs at its Web site, also:  
[www.ed.gov/pubs/edpubs.html](http://www.ed.gov/pubs/edpubs.html) or at its e-mail address:  
[edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov).

If you request an application from ED Pubs, be sure to  
identify this program or competition as follows: CFDA  
number 84.184Z.

Individuals with disabilities can obtain a copy of the  
application package in an accessible format (e.g., braille,  
large print, audiotape, or computer diskette by contacting  
the person or team listed under Accessible Format in  
section VIII of this notice.

2. Content and Form of Application Submission:  
Requirements concerning the content of an application,  
together with the forms you must submit, are in the  
application package for this program.

3. Submission Dates and Times:

Applications Available: June 5, 2009.

Deadline for Transmittal of Applications: July 6, 2009.

Applications for grants under this program must be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants site. For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 6. Other Submission Requirements of this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII of this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: August 4, 2009.

4. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements: Applications for grants under this program must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the Grants for Coalitions to Prevent and Reduce Alcohol Abuse at Institutions of Higher Education Competition, 84.184Z, must be submitted electronically using e-Application, accessible through the Department's e-Grants Web site at: <http://e-grants.ed.gov>.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written



statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

- You must complete the electronic submission of your grant application by 4:30:00 p.m., Washington, DC time, on the application deadline date. E-Application will not accept an application for this competition after 4:30:00 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.

- The hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until 8:00 p.m. Sunday, Washington, DC time. Please note that, because of maintenance, the system is unavailable between 8:00 p.m. on Sundays and 6:00 a.m. on Mondays, and between 7:00 p.m. on Wednesdays and 6:00 a.m.

on Thursdays, Washington, DC time. Any modifications to these hours are posted on the e-Grants Web site.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password protected file, we will not review that material.

- Your electronic application must comply with any page limit requirements described in this notice.

- Prior to submitting your electronic application, you may wish to print a copy of it for your records.

- After you electronically submit your application, you will receive an automatic acknowledgment that will include a PR/Award number (an identifying number unique to your application).

- Within three working days after submitting your electronic application, fax a signed copy of the SF 424 after following these steps:

- (1) Print SF 424 from e-Application.

- (2) The applicant's Authorizing Representative must sign this form.

- (3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the SF 424.

- (4) Fax the signed SF 424 to (202) 285-0041 or (202) 245-7166.

- We may request that you provide us original signatures on other forms at a later date.

Application Deadline Date Extension in Case of e-

Application Unavailability: If you are prevented from electronically submitting your application on the application deadline date because e-Application is unavailable, we will grant you an extension of one business day to enable you to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

(1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and

(2) (a) E-Application is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or

(b) E-Application is unavailable for any period of time between 3:30 p.m. and 4:30:00 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgment of any system unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If e-Application is unavailable due to technical problems with the system and, therefore, the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application. Extensions referred to in this section apply only to the unavailability of e-Application.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper

format, if you are unable to submit an application through e-Application because--

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to e-Application;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevents you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: Earl Myers, U.S. Department of Education, 400 Maryland Avenue, SW., room 10119, Potomac Center Plaza (PCP), Washington, DC 20202-6450. FAX: (202)485-0013.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.184Z)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

(1) A private metered postmark.

(2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

c. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application, by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.184Z)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this grant notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

#### V. Application Review Information

1. Selection Criteria: The selection criteria for this program are from EDGAR and listed in the application package.

#### VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and



send you a Grant Award Notification (GAN). We may also notify you informally, also.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements:

We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. You must also submit an interim progress report twelve months after the award date. This report should provide the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements

on reporting, please go to

[www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

4. Performance Measures: The Secretary has established the following key performance measure for assessing the effectiveness of the Grants for Coalitions to Prevent and Reduce Alcohol Abuse at IHEs:

1. The percentage of grantees that demonstrate a reduction in 30-day alcohol use among under-age students at participating IHEs.

2. The percentage of grantees that demonstrate a reduction in 30-day binge drinking among under-age students at participating IHEs.

#### VII. Agency Contact

For Further Information Contact: Earl Myers, U.S.

Department of Education, 400 Maryland Avenue, SW., room 10119, PCP, Washington, DC 20202-6450. Telephone: (202) 245-7879 or by e-mail: [earl.myers@ed.gov](mailto:earl.myers@ed.gov).

If you use a TDD, call the Federal Relay Service (FRS), toll free, at 1-800-877-8339.

#### VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or computer diskette) on request to the program

contact person listed under For Further Information Contact in section VII of this notice.

Electronic Access to This Document: You can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: [www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister).

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at: [www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html).

Dated:

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William Modzeleski,  
Acting Assistant Deputy Secretary for  
Safe and Drug-Free Schools.

## **AUTHORIZING LEGISLATION**

### **Elementary and Secondary Education Act (ESEA)**

#### **Title IV – 21<sup>st</sup> Century Schools, Part A – Safe and Drug-Free Schools and Communities, Subpart 2 – National Programs, Section 4121 – Federal Activities**

(a) Program Authorized.--From funds made available to carry out this subpart under section 4004(2), the Secretary, in consultation with the Secretary of Health and Human Services, the Director of the Office of National Drug Control Policy, the Chair of the Ounce of Prevention Council, and the Attorney General, shall carry out programs to prevent the illegal use of drugs and violence among, and promote safety and discipline for, students at all educational levels from preschool through the postsecondary level. The Secretary shall carry out such programs directly, or through grants, contracts, or cooperative agreements with public and private nonprofit organizations and individuals, or through agreements with other Federal agencies, and shall coordinate such programs with other appropriate Federal activities. Such programs may include--

- (1) the development and demonstration of innovative strategies for training school personnel, parents, and members of the community, including the demonstration of model preservice training programs for prospective school personnel;
- (2) demonstrations and rigorous evaluations of innovative approaches to drug and violence prevention;
- (3) the provision of information on drug abuse education and prevention to the Secretary of Health and Human Services for dissemination by the clearinghouse for alcohol and drug abuse information established under section 501(d)(16) of the Public Health Service Act;
- (4) the development of curricula related to child abuse prevention and education and the training of personnel to teach child abuse education and prevention to elementary and secondary schoolchildren;
- (5) program evaluations in accordance with section 14701 that address issues not addressed under section 4117(a);
- (6) direct services to schools and school systems afflicted with especially severe drug and violence problems;
- (7) activities in communities designated as empowerment zones or enterprise communities that will connect schools to community-wide efforts to reduce drug and violence problems;
- (8) developing and disseminating drug and violence prevention materials, including video-based projects and model curricula;
- (9) developing and implementing a comprehensive violence prevention strategy for schools and communities, that may include conflict resolution, peer mediation, the teaching of law and legal concepts, and other activities designed to stop violence;
- (10) the implementation of innovative activities, such as community service projects, designed to rebuild safe and healthy neighborhoods and increase students' sense of individual responsibility;

- “(11) grants to noncommercial telecommunications entities for the production and distribution of national video-based projects that provide young people with models for conflict resolution and responsible decision making;
  - (12) the development of education and training programs, curricula, instructional materials, and professional training and development for preventing and reducing the incidence of crimes and conflicts motivated by hate in localities most directly affected by hate crimes; and
  - (13) other activities that meet unmet national needs related to the purposes of this title.
- (b) Peer Review.--The Secretary shall use a peer review process in reviewing applications for funds under this section.

## **IV. APPLICATION INSTRUCTIONS AND INFORMATION**

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### **Preparing the Application**

A completed application for assistance under this competition consists of two parts: a detailed narrative description of the proposed project and budget, and all forms and assurances that must be submitted in order to receive a grant. An application under this program should address the specific needs of the applicant and propose activities specifically designed to meet those needs. We strongly discourage applicants from using “form” applications that address general rather than specific needs. Identical or substantially similar applications are not responsive to the selection criteria.

A panel of non-federal readers with experience in alcohol and other drug abuse prevention will review each eligible application submitted by the deadline. The panel will award points ranging from 0 to 100 to each application depending on how well the selection criteria are addressed. Be sure you provide a comprehensive response to each factor under each selection criterion. Applications that fail to do so will be read, but our experience suggests they may not score well enough to be funded.

### **DUNS NUMBER INSTRUCTIONS**

The DUNS Number is a unique nine-digit number that does not convey any information about the recipient. A built-in check digit helps to ensure the accuracy of the DUNS Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a DUNS Number has been entered correctly.

You can obtain a DUNS Number at no charge by calling 800/333-0505 or by completing the DUNS Number Request Form, available online at [www.dnb.com/US/duns\\_update/index.html](http://www.dnb.com/US/duns_update/index.html). Dun & Bradstreet, a global information provider, has assigned DUNS Numbers to more than 43 million companies worldwide. Customer service is available on Monday-Friday from 8:00 a.m. to 6:00 p.m. (Eastern Time) at 888/814-1435.

### **Organizing the Application**

We recommend that applicants organize the information in their application in the following order. All pages should be numbered consecutively to make review and evaluation easier. Note that applications submitted electronically must follow the format given in the e-Application system. The system will then organize the information automatically.

**1. Application for Federal Assistance (SF Form 424):** This is the title page of your application. Be sure that item 11 of ED Form 424, clearly identifies the Catalog of Federal Domestic Assistance (CFDA) Number and Title of the competition under which funds are being requested. Please include the following: **CFDA #84.184Z.**

**2. Table of Contents:** Provide an itemized listing of each section of the application package, including page numbers.

**3. Program Abstract:** Clearly mark this page with the applicant/organizational name as shown in item 8a of ED 424. The abstract should not exceed one page and should provide a concise and accurate description of the proposed project including its objectives, approaches to be used, and its expected outcomes.

**4. Project Narrative:** The narrative must contain evidence that the applicant meets the grant competition's absolute priority, and should contain and follow in sequence the information requested for each selection criterion. Applicants should review Section II for a discussion of the selection criteria and the chief considerations for this grant competition. A timeline or schedule of tasks and events, responsible person(s), project milestone(s), and/or completion dates should be included in the narrative.

**5. Budget Form (ED Form 524):** Use the Budget Information Form to prepare one budget that covers the entire (up to 24 month) budget period. Provide amounts for major budget categories.

**6. Budget Narrative:**

You must include a detailed budget narrative for the entire (up to 24 month) performance period that supports and explains the information provided on ED Form 524. Use the same budget categories as those on ED Form 524 and explain the basis used to estimate costs for all budget categories, and how the cost items relate to the project's goals, objectives, and activities. All expenditures must be necessary to carry out the goals and objectives of the project, reasonable for the scope and complexity of the project, and allowable under the terms and conditions of the grant and in accordance with government cost principles.

The Budget Information Form and accompanying narrative should provide enough detail for ED staff to easily understand how costs were determined and if the budget is commensurate with the scope of the project. **Note:** Failure to submit a detailed budget narrative may result in significant cuts to your request.

For this grant competition, you may charge indirect costs using the rate negotiated with your cognizant federal agency. Be sure to include evidence of a federally negotiated indirect cost rate. If you budget for contractual services, please note that indirect costs may be applied only to the first \$25,000 of each contract, regardless of the period covered by the contract.

**7. Assurances and Certifications:** This application package includes the following— Standard Form 424B, Assurances – Non-Construction Programs, ED 80-0013 – Certification Regarding Lobbying; and Standard Form LLL – Disclosure of Lobbying Activities. By signing the 424B, the applicant agrees to abide by requirements regarding drug-free workplace, debarment and environmental tobacco smoke.

**8. Appendices and Forms:** This section should contain any supplementary information that applicants may choose to submit in support of applicant's capacity and preparation to undertake the proposed project. These documents may include resumes, letters of agreement with cooperating entities, if appropriate, evaluation results, or materials. Do not include budget or program narrative information in this section.

The ED Forms required to submit the application package are available electronically at the following web site:

[www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html)



## Instructions for Application for Federal Assistance (Standard Form 424)

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application: (Required) Select one type of application in accordance with agency instructions.</b> <ul style="list-style-type: none"> <li>• <b>New – An application that is being submitted to an agency for the first time.</b></li> <li>• <b>Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</b></li> <li>• <b>Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.</b>  A. Increase Award      B. Decrease Award  <b>C. Increase Duration      D. Decrease Duration</b>  <b>E. Other (specify)</b> </li> </ul>	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.		
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.	16.	<b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district. <ul style="list-style-type: none"> <li>• <b>If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland.</b></li> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul>
5b.	<b>Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		
	<b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the		

	<p>Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</p> <p><b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.</p> <p><b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p> <p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	<p>18.</p> <p>19.</p> <p>20.</p>	<p><b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</p> <p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p> <p><b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>		
<p>9.</p>	<p><b>Type of Applicant: (Required)</b> <b>Select up to three applicant type(s) in accordance with agency instructions.</b></p> <table border="0"> <tr> <td data-bbox="152 848 503 1297"> <p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p><b>K.</b> Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p> </td> <td data-bbox="503 848 828 1386"> <p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p> </td> </tr> </table>	<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p><b>K.</b> Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p>	<p>21.</p>	<p><b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p><b>K.</b> Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p>				

## Instructions for Department of Education Supplemental Information for Standard Form 424

**1. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

**2. Novice Applicant.** Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.

Check “Yes” if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.” By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check “No” if you do not meet the requirements for novice applicants.

**3. Human Subjects Research.** (See I. A. “Definitions” in attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.”)

**If Not Human Subjects Research.** Check “No” if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

**If Human Subjects Research.** Check “Yes” if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check “Yes” even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.”)

**3a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.”

**3a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information for SF 424.”

**3a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

***Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, D.C. 20202-4260.*

## Definitions for Department of Education Supplemental Information for Standard Form 424

### Definitions:

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

### PROTECTION OF HUMAN SUBJECTS IN RESEARCH

#### I. Definitions and Exemptions

##### A. Definitions.

**A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.**

##### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

##### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” (1) *If an activity involves obtaining information about a living person by manipulating that person or that*

*person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

##### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked “Yes” for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

### **A. Exempt Research Narrative.**

If you marked “Yes” for item 3 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked “No” for item 3 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

#### **(1) Human Subjects Involvement and Characteristics:**

Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site: <http://www.ed.gov/about/offices/list/OCFO/humansub.html>*

NOTE: The **State Applicant Identifier** on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).

## **Instructions for Department of Education Budget Information – Non-Construction Programs (ED Form 524)**

### **General Instructions**

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

#### Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

#### **Indirect Cost Information:**

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. (2): If you checked “yes” in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check “Other,” specify the name of the Federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

#### Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C - Budget Narrative [Attach separate sheet(s)]  
Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at:  
<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

**Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0004. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

## Instructions for Disclosure of Lobbying Activities (Standard Form LLL)

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

- 1) Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
- 2) Identify the status of the covered Federal action.
- 3) Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
- 4) Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
- 5) If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
- 6) Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
- 7) Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
- 8) Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
- 9) For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
- 10) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
  - (b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
- 11) The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.



## Intergovernmental Review

This grant competition is subject to the requirements of Executive Order 12372 and the regulations in 34 CFR part 79. One of the objectives of the Executive Order is to foster an intergovernmental partnership and a strengthened federalism. The Executive Order relies on processes developed by state and local governments for coordination and review of proposed federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the state's process under Executive Order 12372. **Note: A copy of the applicant's letter to the State Single Point of Contact must be included with this application.**

To view a list of states that participate in the intergovernmental review process, visit [www.whitehouse.gov/omb/grants/spoc.html](http://www.whitehouse.gov/omb/grants/spoc.html). States that are not listed have chosen not to participate in the intergovernmental review process, and therefore do not have a State Single Point of Contact. If you are located within one of these states, you are exempt from this requirement.

In states that have not established a process or chosen a program for review, state, area-wide, regional, and local entities may submit comments directly to the Department.

Any state process recommendation and other comments submitted by a State Single Point of Contact and any comments from state, area-wide, regional, and local entities must be received by August 4, 2009, at the following address: The Secretary, EO 12372—CFDA #84.184Z, U.S. Department of Education, 400 Maryland Avenue, SW, Room 7W300, Washington, DC 20202-0124. Recommendations or comments may be hand-delivered until 4:30 p.m. (Eastern Time) on August 4, 2009. Please do not send applications to this address.

## General Education Provisions Act (GEPA) Section 427

Section 427 of GEPA affects applicants for new discretionary grant awards under this program. All applicants for new award must include information in their applications to address this provision, summarized below, in order to receive funding under this program.

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This section allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation that you may address: *gender, race, national origin, color, disability, or age*. Based on local circumstances, you can determine whether these or other barriers may prevent your

students, teachers, or others, from equitable access or participation. Your description need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

**NOTE: A general statement of an applicant's nondiscriminatory hiring policy is not sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.**

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### **Examples**

The following examples help illustrate how an applicant may comply with section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audiotape or in Braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course might indicate how it tends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

### **Paperwork Burden Statement for GEPA 427**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for the GEPA 427 is OMB No. 1890-0009. The time required to complete GEPA 427 is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Office of Safe and Drug-Free Schools,

## **APPLICATION CHECKLIST**

Application for Federal Assistance (SF Form 424) is completed according to the instructions and includes the nine-digit D-U-N-S Number and Tax Identification Number.

If the applicant has received a waiver to submit the application in hard copy, all required forms are signed in black or blue ink and dated by an authorized official and the signed original is included with your submission.

**Deadline Date: July 6, 2009.** See Sections I and IV of this application package for complete application transmittal instructions and general application instructions and information.

### **EACH COPY OF THE APPLICATION MUST INCLUDE THE FOLLOWING:**

- ☐ Application for Federal Assistance (SF Form 424)
- ☐ ED Supplemental Information Form for the SF 424
- ☐ Project Abstract (one page maximum)
- ☐ Project Narrative
- ☐ All applications must include the required forms, assurances, and certifications, including:
  - ☐ Budget Information Form (ED Form 524) and detailed budget narrative for the entire 24 month budget period.
  - ☐ Assurances, Non-Construction Programs (ED Form 424B)
  - ☐ Certification Regarding Lobbying (Grants.gov Lobbying Form)
  - ☐ Disclosure of Lobbying Activities (Standard Form–LLL)
- ☐ Narrative response to GEPA 427
- ☐ Copy of letter to State Single Point of Contact if applicable
- ☐ Proof of federally negotiated indirect cost rate (if you are claiming indirect costs)

## **Forms and Instructions for Standard Forms (for paper submission)**

- Application for Federal Assistance (Standard Form 424)
- Department of Education Supplemental Information Form for the Standard Form 424
- Department of Education Budget Information -- Non-Construction Programs (ED Form 524)
- Assurances – Non-Construction Programs (Standard Form 424B)
- Disclosure of Lobbying Activities (Standard Form LLL)
- Certification Regarding Lobbying (ED 80-0013)